

DEPARTMENT OF THE NAVY NAVAL AIR SYSTEMS COMMAND NAVAL AIR SYSTEMS COMMAND HEADQUARTERS 1421 JEFFERSON DAVIS HWY

1421 JEFFERSON DAVIS HWY ARLINGTON VA 22243 NAVAIRINST 5215.5H CH-1 AIR-7.2.5.2

NAVAIR INSTRUCTION 5215.5H CHANGE TRANSMITTAL 1

From: Commander, Naval Air Systems Command

Subj: DEPARTMENT OF THE NAVY DIRECTIVES ISSUANCE SYSTEM AS IT APPLIES TO THE NAVAL AIR SYSTEMS COMMAND HEADQUARTERS

1. Purpose. To issue Change 1 to NAVAIR Instruction 5215.5H.

2. Action. Addressees are requested to make the following changes to NAVAIR Instruction 5215.5H:

a. Page 10, paragraph 8b; change 8b to 8c and insert as 8b: "Available on the NAVAIRHO Network (NHN). Current NAVAIRHO instructions are maintained on the NHN. These instructions are read-only and printable for all personnel with access to the NHN. Current instructions not found on the NHN may still be obtained in accordance with section a(3) above."

b. Enclosure (1), page 1, paragraph 2a(2): add to end of paragraph: "The document must be delivered to AIR-7.2.5.2 on floppy disk (either 3 1/2" or 5 1/4") utilizing a NHN supported software application immediately upon signature for incorporation into the NHN."

DONALD V. BOECKER Vice Commander

Distribution: FKA1A (established quantity); others 2 copies SNDL: FKA1A (Deputy Commanders, Assistant Commanders, Comptroller, Command Special Assistants, Designated Program Managers, Directorate Directors, and Office and Division Directors)

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S/N: 0808LD0570561



DEPARTMENT OF THE NAVY NAVAL AIR SYSTEMS COMMAND NAVAL AIR SYSTEMS COMMAND HEADQUARTERS

1421 JEFFERSON DAVIS HWY ARLINGTON VA 22243 IN REPLY REFER TO NAVAIRINST 5215.5H

AIR-71044 18 Nov 93

NAVAIR INSTRUCTION 5215.5H

From: Commander, Naval Air Systems Command

Subj: DEPARTMENT OF THE NAVY DIRECTIVES ISSUANCE SYSTEM AS IT APPLIES TO THE NAVAL AIR SYSTEMS COMMAND HEADQUARTERS

Ref: (a) SECNAVINST 5215.1C, Department of the Navy Directives Issuance System

(b) SECNAVINST 5210.11D, Department of the Navy File Maintenance Procedures and Standard Subject Identification Codes

(c) SECNAVINST 5216.5C, Department of the Navy Correspondence Manual

(d) NAVAIRINST 5216.1G, Signature Authority for Correspondence, Directives, and Messages

(e) SECNAVINST 5200.29B, Review of Proposed Administrative Issuances

(f) OPNAVINST 5215.5E, Department of Defense Directives Issuances

(g) OPNAVINST 5215.12, Processing of Department of Defense, Secretary of the Navy, and OPNAV Issuances

Encl: (1) Amplification of Standards Prescribed by SECNAV Instruction 5215.1C

(2) Flow Chart for Clearance and Processing of NAVAIR Directives

(3) Guidelines for Reviewing Instructions

- 1. <u>Purpose</u>. To revise policies and procedures for use of the Department of the Navy (DON) directives issuance system in the Naval Air Systems Command Headquarters (NAVAIRHQ).
- 2. Cancellation. NAVAIRINST 5215.5G.
- 3. <u>Scope</u>. This instruction applies to NAVAIRHQ and activities supported by NAVAIRHQ: the Naval Aviation Program Executive Officer for Air Anti-Submarine Warfare, Assault, and Special Mission Programs (PEO(A)), the Program Executive Officer for Tactical Aircraft Programs (PEO(T)), and the Direct Reporting Program Manager for Medium Attack (DRPM(AFX)). The Naval Air Warfare Center (NAVAIRWARCEN) Headquarters will also follow the guidance of this instruction. The PEO for Cruise Missiles Project and Unmanned Aerial Vehicles Joint Project (PEO(CU)) is not affected by this instruction.



S/N: 0808LD0570560

- 4. <u>Definitions</u>. The following definitions are provided to ensure clarity of pertinent areas in the directives issuance system:
- a. <u>Directive</u>. A form of naval correspondence (either an instruction, notice or change transmittal) that establishes policy, organization, conduct, methods or procedures; requires action; or contains information that requires formal distribution.
- b. <u>Publication-Type Directive</u>. An instruction or notice whose content is best suited to a publication format; i.e., parts, chapters, and so forth. Publication-type directives include a locator cross reference sheet, a table of contents, and a record-of-change page.
- c. <u>Instruction</u>. A type of directive which contains authority or information that has continuing reference value or requires continuing action. Instructions are effective until canceled or superseded, either by the originator or by higher authority.
- d. <u>Notice</u>. A directive issued for a temporary, one-time period, with self-canceling provisions; sometimes referred to as a "note". Usually, a notice will remain in effect for less than 6 months, but is not permitted to remain in effect for longer than 1 year. A notice has the same official status, force, and effect as an instruction:
- (1) Self-canceling provisions of a notice are predetermined in the drafting stage. If the information contained in a notice will be incorporated in another document in the near future or if the duration of the notice is contingent on a particular action being taken or a certain event occurring, the notice will have a "cancellation contingency" paragraph. This paragraph will be the last paragraph in the notice, following a forms and reports paragraph (if any). If the information in the notice will not be required after a specific date, this paragraph is not required.
- (2) Any requirement for continuing action contained in a notice (such as submitting a report, using a form or following a specific procedure) is considered canceled when the notice is canceled, unless the requirement is incorporated into another suitable document.
- e. Change Transmittal. The medium used to implement changes to an instruction (or in some cases, a notice) which are important, yet do not warrant a complete revision of the directive. A change transmittal describes the nature of the changes it transmits and gives directions for making them. Change transmittals may include replacement pages or transmit pen changes.

f. <u>Implementing Directive</u>. A NAVAIR directive issued to implement policies, responsibilities or procedures initially designated in a directive from an external source (generally of higher authority). The implementing directive is applicable to all activities supported by NAVAIRHQ and clearly identifies or references the external directive, as applicable.

5. Criteria

- a. NAVAIRHQ is a complex organization with multiple missions. In the past there has been a tendency to issue separate directives for individual issues. A complex and extensive structure of directives has resulted, wherein users must refer to a number of separate sources to obtain guidance on a given subject. To preclude a proliferation of directives, related information should be issued in a single "umbrella" directive containing generalized information, background, and policy, with enclosures or appendixes used for more specific guidance on specialized aspects. This method reduces delays in reviewing directives and decreases printing and distribution costs; concentrates related information in a single, central source; and improves directives management, per reference (a) and the Paperwork Management Reduction Act of 1980.
- b. NAVAIR cannot assign responsibilities or direct action to an activity outside the limits of prescribed authority, except as noted in paragraph 5c below. If possible, avoid including the requirements of external organizations in NAVAIR directives. When responsibilities or actions of outside activities need to be addressed for clarification or continuity, the governing document which directs that activity to perform those functions or which grants overall program control to NAVAIRHQ must be referenced. Concurrence from those activities is also required before the instruction is submitted for signature.
- c. When designated by a higher authority directive as lead systems command, NAVAIR can assign responsibilities to other systems commands, etc. In such cases, the prescribing NAVAIR instruction is to be noted by making reference to the higher authority directive (see paragraph 7b).
- d. Administrative issuances written either to addressees outside NAVAIRHQ or to addressees within organizational elements in more than one group will be issued in the directives issuance system when it does one or more of the following:
- (1) Regulates or is essential to effective administration; establishes policy; delegates authority or assigns responsibilities; establishes an organizational structure; or assigns missions, functions or tasks.
- (2) Establishes a procedure, technique, standard, guide or method of performing a duty, function or operation;

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establishes a reporting requirement; or changes, supersedes or cancels another directive.

- e. Excluded from this system are Navy regulations, Top Secret directives, technical and regulatory manuals and publications, and changes to these documents.
- f. Addressees are required to use the DON directives issuance system for the issuance of internal directives (directives issued from and strictly relative to one group, office, division, branch or section). These directives will not be addressed outside NAVAIR nor will they be maintained in the NAVAIRHQ directives stock room or processed through the Administrative Policy Section (AIR-71044). Internal directives will be processed through the originating group's Directives Screening Control Point (DSCP).

6. Responsibilities

a. Action Addressees

- (1) Establish procedures to ensure compliance with this instruction and its references.
- (2) Originate and maintain directives to document programs, functions, organization, policies, and procedures. Ensure there are no policy or procedural gaps or overlaps, and directives conform to DON policies and regulations and to statutory and other requirements.
- (3) Take all required action on any directive received for action and ensure a copy of the directive is annotated with the action taken and maintained in the office directives file.
- (4) Decide whether an incoming directive of higher authority should be implemented by a NAVAIR directive or implemented by distributing copies of the incoming, higher-authority directive to those who need to know and act. A higher authority directive will not be reissued unless additional or significant information is required in the NAVAIR directive. See paragraph 7b for information pertaining to implementation.
- (5) Designate a group DSCP in writing, with a copy of the letter to AIR-71044 and the Flag Secretariat (AIR-00B). DSCP responsibilities are listed in paragraph 6e.

b. Originators

- (1) Determine the type of directive to be issued (instruction, notice or change transmittal).
- (2) Using reference (b), assign a Standard Subject Identification Code (SSIC) to newly issued directives. Consecutive numbers assigned to instructions which have been canceled; e.g., "5515.4," will not be reused.

- (3) Identify classified directives per OPNAV Instruction 5510.1H, Department of the Navy Information and Personnel Security Program Regulation, and NAVAIR Instruction 5510.2C, Naval Air Systems Command Headquarters Supplement to the Department of the Navy Information Security Program Regulation. Enclosure (1) of this instruction summarizes appropriate requirements, but the requirements of OPNAVINST 5510.1H and NAVAIRINST 5510.2C must be met.
- (4) Prepare directives, following requirements of references (a) through (g) and this instruction.
- (5) Determine distribution of directives based on "need to act" and "need to know."
- (6) Clear and coordinate directives with NAVAIRHQ codes and external activities, as required. Comments and concurrences from Fleet Commanders in Chief are necessary when a directive requires a report from the Fleet.
- (7) Ensure early clearance and coordination is obtained from AIR-71044 when forms and reports are involved.
- (8) Route directives for formal concurrence under cover of NAVAIR Form 5215/2, Directive Clearance Record, or NAVAIR Form 5215/2A, Directive Clearance Record for Confidential Material (as appropriate). Include copies of documents being canceled, superseded, implemented or referenced.
- (9) Incorporate final changes resulting from formal routing and prepare the directive in final format.
- (10) Ensure all reference and background material, including any directives and forms being canceled, are included with the current directive. Forward to and obtain final clearance from the group DSCP. DSCP responsibilities are detailed in paragraph 6e.
- (11) Submit the proposed directive, with copies of all references and any background information deemed relevant, for signature and final approval (see reference (d)).
- (12) Advise AIR-71044 of any additions to the distribution occurring after initial distribution of the directive so that these additions will be reflected in future changes and revisions and in NAVPUB Instruction 5215.3H, Department of the Navy Directives Issuance System Consolidated Checklist Subject Index.
- (13) Ensure directives are kept current and are canceled promptly when obsolete. Review instructions annually on their anniversary date and revise or cancel those 7 or more years old.
- (14) Ensure a copy of each NAVAIR message-type directive is provided to AIR-71044 and the Forms and Directives/Stock/

Master File (AIR-71043B). (See reference (a) for information regarding message-type directives.)

- (15) Distribute unclassified directives to activities that require a copy, but were not included in initial distribution.
- (16) Submit to your group DSCP proposed Secretary of the Navy (SECNAV), Office of the Chief of Naval Operations (OPNAV), and joint intra-Navy and inter-service directives prepared in NAVAIRHQ or submitted to NAVAIRHQ for concurrence.
- (17) Ensure documents delegating tasks or assigning work to field activities contain a provision that any NAVAIR directive prepared by a field activity for NAVAIRHQ must meet the requirements of reference (a) and this instruction.
- (18) Analyze existing directives on a continuing basis for duplication, adequacy, and currency. Consolidate related directives when possible.

c. AIR-71044

- (1) Administer the DON directives issuance system in NAVAIR by providing general program guidance and technical assistance to directive originators per reference (a).
- (2) Maintain and operate the NAVAIRHQ directives control system.
- (3) Serve as liaison for NAVAIR with OPNAV and other commands, bureaus, and offices in DON for the development of directives issuance system guides, standards, and improvements.
- (4) Coordinate the development and operation of necessary training programs to instruct applicable personnel on the directives issuance system.
- (5) Assign consecutive numbers to new directives and obtain stock numbers for all directives stocked in the Navy supply system. After signature, all directives will be returned by the signing office to AIR-71044. If less than 10 pages, AIR-71044 will type the consecutive number and date of approval on each page (the signature page is dated by the signing office). AIR-71044 will forward larger directives to the originator to have the consecutive number and approval date added to the header on each page of the directive.
- (6) Monitor the annual review of existing NAVAIR instructions and ensure those that are 7 or more years old are either canceled or revised (see paragraph 9).
- (7) Maintain official case files of directives originated under NAVAIRHQ cognizance.

- (8) Compile numerical lists of all NAVAIR instructions and issue these lists at least annually.
- (9) Coordinate the listing of instructions in NAVPUB Instruction 5215.3H and NAVPUB Instruction 5215.1, Department of the Navy Directives Issuance System Consolidated Subject Index.
- (10) Provide administrative support outlined in this instruction, as required, for directives issued by PEO(A), PEO(T), DRPM(AFX), and the NAVAIRWARCEN Headquarters.

d. Reviewing Officials

- (1) Ascertain the technical accuracy of the directive, if the subject material is relevant to the reviewing official's technical expertise or responsibility.
- (2) Verify the organizational codes used in the document are current and correct.
- (3) Verify whether responsibilities assigned to the reviewing official's group are correctly assigned.
- (4) Ascertain (or provide specific and constructive comments to the contrary) the directive clearly and concisely performs its purpose.
- (5) Prepare review comments and mark-ups of proposed directives, sign off on the official route sheet (NAVAIR Form 5215/2 or 5215/2A), and return the package to the originator within the allotted review period. If time constraints preclude this, it is the responsibility of the reviewing code to contact the directive originator to request an extension of time to respond.

e. Group DSCP's

- (1) Provide on-the-job training on directives policy and procedure to new employees upon their assignment to the group. Give a copy of this instruction and references (a) and (c) to each new administrative employee (including typists, secretaries, word processors, and administrative assistants).
- (2) Review proposed NAVAIR and internal (group, office, division, branch or section) directives under the DON directives issuance system for editorial standards, content, format, spelling, punctuation, current Standard Navy Distribution List (SNDL) codes, and NAVAIRHQ adherence to requirements contained in enclosure (1).
- (3) Advise originators regarding procedures for preparing directives.
- (4) Thoroughly review proposed directives prior to forwarding for signature to:

- (a) verify conformance with directives standards and format;
- (b) determine the type of release (instruction, notice or change transmittal) is appropriate; the correct SSIC is assigned; references cited are current; the directive does not duplicate, overlap or conflict with other directives; proper concurrence has been obtained; distribution is complete and accurate; and the need for special binders or covers is justified;
- (c) ensure proper control, implementation, and use of new or revised reports and forms;
- (d) verify proper classification markings are used on classified directives;
 - (e) ensure logical arrangement of content; and
- (f) recommend changes in wording to improve document clarity, where applicable.
 - (5) Ensure level of signature is correct.
- (6) Process proposed SECNAV, OPNAV, and joint intra-Navy and interservice directives originated in either NAVAIRHQ or another command, bureau or Service performing the functions listed in this paragraph. Transmit directives to the SECNAV/OPNAV Directives Control Office for processing and forwarding to higher levels.

f. Printing and Publications (AIR-71042A)

- (1) Prepare printing requisitions for all NAVAIR, PEO(A), PEO(T), DRPM(AFX), and NAVAIRWARCEN Headquarters directives.
- (2) Determine stocking and distribution requirements, monitor initial distribution, arrange for stocking, and maintain distribution and stocking records.
- g. $\underline{AIR-71043B}$ will stock 20 copies of current directives issued by or addressed to NAVAIR, PEO(A), PEO(T), DRPM(AFX), and the NAVAIRWARCEN Headquarters.

7. Procedures

- a. <u>Directives Clearance and Processing</u>. Clearance procedures and processing points are identified by the flow chart in enclosure (2).
- b. <u>Implementing Directives</u>. Use a NAVAIR, PEO or DRPM directive to implement an incoming directive when it is necessary to delegate responsibility or to prescribe procedures for accomplishing responsibilities. Identify the directive being implemented in the text of the implementing NAVAIR, PEO, or DRPM

directive to preserve the continuity or sequence in the development of a subject or program, rather than listing it as a reference, unless the pertinent parts are technical and difficult to restate, too lengthy to quote or the directive was not distributed to addressees of the implementing directive:

- (1) NAVAIR cannot assign responsibilities or direct action to an activity outside its authority, except when a directive from a higher authority (such as Chief of Naval Operations) designates NAVAIR as lead systems command.
- (2) When implementing an incoming directive that requires wider dissemination within NAVAIR or its supported activities, the incoming directive should be given additional routing or copies should be obtained and distributed. The cognizant group is responsible for ordering and distributing the required directive.

c. Signing Directives

- (1) Per reference (d), the Commander (AIR-00), Deputy Commander (AIR-03) or Vice Commander (AIR-09) will sign directives that establish, change, define or paraphrase overall NAVAIR policy or which assign responsibility or action outside the originating group. Forward all directives to be signed by AIR-00, AIR-03 or AIR-09 to AIR-00B. These will be placed in the Flag Office correspondence system and passed to the appropriate code for signature.
- (2) Only AIR-00 may sign directives that are addressed to "All Ships and Stations."
- (3) NAVAIR Deputy Commander for Acquisition and Operations (AIR-01), Assistant Commanders, the Comptroller, and command special assistants may sign directives relating to assigned tasks or areas of responsibility contained in NAVAIR Instruction 5400.1B, NAVAIRHQ Organization Manual; however, they are limited to providing information, guidance or procedures on assigned plans and programs.
- (4) Change transmittals containing minor changes to directives may be signed "By direction." Major changes must be signed at the same level as the basic directive.
- (5) NAVAIR notices (except "All Ships and Stations") taking routine actions on programs previously established by a NAVAIR instruction may be signed "By direction."
- (6) PEO's and DRPM(AFX) will sign directives (such as charters) pertaining to organizations under their management. These will be issued as PEO or DRPM instructions in the same manner as NAVAIR instructions.
- (7) After a directive has been signed, it will be returned to AIR-71044 to be recorded, dated, and forwarded to

AIR-71042A for printing. It is then sent to AIR-71043B for distribution.

- d. Maintaining Directives. Each organizational unit of NAVAIRHQ will maintain their own directives file. This file will contain one copy of each current directive originated in that organizational unit and one copy of each current directive routed to or addressed to the unit, if the directive imposes a requirement on the organizational unit or is related to its operations or responsibilities.
- (1) Instruction and notice files must include, but are not limited to, directives which:
- (a) require the organizational unit to take current, future or continuing action; or
- (b) contain policy statements or other information concerning the unit's operations or are of interest to or concern matters affecting that organizational unit's personnel.
- (2) Except for AIR-71043B, no organizational unit of NAVAIRHQ is required to maintain a complete file of all directives required or originated by NAVAIRHQ and organizations supported by NAVAIR.
- 8. Availability of Directives (Instructions and Notices)
- a. <u>Available at AIR-71043B</u>. AIR-71043B maintains the following:
- (1) A copy of all confidential and unclassified DON directives that have been addressed to NAVAIRHQ, PEO(A), PEO(T), DRPM(AFX), and the NAVAIRWARCEN. These directives may be viewed on the premises.
- (2) Microfiche and Compact Disk for Read-Only Memory (CD-ROM) copies of most unclassified DON instructions. A microfiche reader/printer and a computer equipped with CD-ROM are available at AIR-71043B, where copies of directives <u>less than 50 pages</u> may be made.
- (3) Extra copies of NAVAIR, PEO(A), PEO(T), DRPM(AFX), and NAVAIRWARCEN confidential and unclassified directives, as well as a few widely used departmental directives, for issue upon request.
- b. Other Directives. Copies of existing DON instructions (classified and unclassified) over 50 pages in length which are not on file in AIR-71043B may be obtained by submitting a request on NAVAIR Form 5600/10, Publications Request, to AIR-71042A. AIR-71042A will submit the request, in military standard requisition and issue procedure format, to the Navy Aviation Supply Office, Physical Distribution Division. Departmental

notices (classified and unclassified) may be obtained from the originating activity.

9. Annual Review of Instructions

- a. AIR-71044 will monitor an annual review of all instructions. Instructions that are 7 or more years old must either be revised and issued under a new date or canceled. Enclosure (3) provides guidance for reviewing instructions.
- except joint interservice and publication-type instructions. Exceptions may be made where legal requirements or other special situations dictate continuance. First year extensions may be approved by the cognizant assistant commander (or equivalent level official). Second year extensions must have the approval of Ani-03 or Alk. In obtain an extension, the instruction originator must submit a memorandum providing written justification for extension to the approving official. A copy of the approval/disapproval memorandum must be provided to AIR-71044 and the group DSCP.
- 10. <u>Forms</u>. NAVAIR 5215/2, Directive Clearance Record, NAVAIR 5215/2A, Directive Clearance Record for Confidential Material, and NAVAIR 5600/10, Publication Request, are available from the NAVAIRHO Forms Stock Room.
- 11. Review. AIR-71044 shall review annually during the anniversary month the contents herein and provide recommendations for revision or cancellation to the Commander.

DONALD .V. BOECKER Vice Commander

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AMPLIFICATION OF STANDARDS PRESCRIBED BY SECNAV INSTRUCTION 5215.1C

1. <u>Background</u>. SECNAV Instruction 5215.1C (reference (a)) prescribes basic standards for the format of directives applicable to all naval activities. Format specifications not specifically described in reference (a) follow standard Navy format, as established in the Navy Correspondence Manual (reference (c)). The following additional direction is applicable to directives originating within NAVAIRHQ, including those originated by naval aviation PEO's, DRPM(AFX), and the NAVAIRWARCEN Headquarters. Samples are provided in exhibits 1 through 6 of this enclosure.

2. Routing

a. Number of Copies

- (1) One copy of the proposed directive will be retained by the originator while the directive is being routed for concurrence and signature.
- (2) Two copies will be attached to the original when routed for signature. One copy will be returned to the originator by AIR-71044 after the directive has been signed and forwarded to AIR-71042A for printing and distribution. Pending receipt of printed copies, this copy will provide the originator with a record of the date, consecutive number (if new instruction), and name and signature authority of signer. The other copy is retained in the AIR-71044 directives case file.
- (3) For SECNAV or OPNAV directives, two copies will be attached to the original: one for the SECNAV or OPNAV directives control point and one for the AIR-71044 directives case file.
- Routing Form. Use NAVAIR Form 5215/2, Directive Clearance Record, or NAVAIR 5215/2A, Directive Clearance Record for Confidential Material, as appropriate, for routing directives for concurrence and signature. Place the appropriate NAVAIR form on the top of the draft or original. Codes that do not concur with the directive, as written, will put their objections in writing. Problems in reaching agreement on proposed directives will be referred to higher levels of the organization until the matter is resolved. All differences of opinion between the originator and other NAVAIRHQ codes will be resolved before a directive is forwarded for signature. In the case of NAVAIRHQoriginated SECNAV or OPNAV directives (see paragraph 7b of the basic instruction), these will be referred to SECNAV or OPNAV for resolution. Clearing codes will keep the originator informed when the directive is released to the next code. Proposed directives will be hand-carried to the next clearing code rather than put in the mail system, whenever practical. In instances (such as field activity reviews) where hand-carrying is geographically infeasible, every effort must be made by the

originator to ensure timely receipt of directive review responses from reviewing codes (i.e., via E-Mail or fax).

c. Concurrent Routing ("Shotgun" Routing)

- (1) Directives can be sent to all reviewing codes concurrently to expedite responses for time-critical directives. While all references and relevant background material are normally routed to each reviewing code, multiple reference documents may be retained by the originating code when shotgun routing. Originators <u>must include</u> a statement on the appropriate routing form indicating where reference documents may be obtained, a point of contact, phone number, and local address.
- (2) Originators should limit the use of shotgun routing to time-critical directives or to cases where the number of clearing codes is so lengthy that routing the directive sequentially will take an inordinate amount of time. Every effort must be made by the originator to provide reviewing codes with reference material within 24 hours of reviewer requests.
- (3) Hand-carrying requirements still apply when shotgun routing; however, comments and mark-ups are returned directly to the originator instead of the next code on the routing form.
- d. <u>Include With Routed Directives</u>. Include any canceled or superseded documents, relevant background material, and references, unless size is prohibitive. Include copies of directives from other Department of Defense agencies which prescribe procedures or responsibilities being implemented within NAVAIRHQ cognizance (see paragraph 7b of the basic instruction).

3. General Guidelines

- a. <u>Lengthy and Detailed Directives</u>. Use the following format guidelines for preparing lengthy and detailed directives:
- (1) Briefly include policy and essential action in the basic directive. Limit specific information in the basic directive, especially when prescribing policy, procedures or responsibilities to more than one distinct group. Essentially, "what we do" is described in the basic directive.
- (2) Include detailed and technical procedures in enclosures, attachments, annexes, tables, etc. These sections will specifically describe "how we do it." Maintain uniformity of format whenever possible between the basic directive and the associated enclosures, attachments, etc., especially when being prepared by the same originator.
- b. <u>Joint Directives</u>. For the placement of originators' codes, refer to exhibit 6 of this enclosure.

- c. <u>Classified Directives</u>. Follow the requirements established in OPNAVINST 5510.1H and NAVAIRINST 5510.2C. Specific clarifications are provided in the following paragraphs.
- d. <u>Markings on Revised Pages</u>. Revised pages should be marked in the page headings ("headers") of each change page and opposite each change to indicate where changes have occurred.
- (1) In the outside margin opposite the change, use "A," "D," or "R," respectively, to indicate additions, deletions, and revisions. Include a single parenthesis bracketing the change marking to distinguish the marking from text. Since the marking appears in the outside margin, the parenthesis should be placed immediately before the marking letter for odd pages, and immediately following the marking letter for even pages; e.g., "(A", "R)."
- (2) Change markings are not required when an extensive change is being issued; in these cases, include in the cancellation paragraph a statement such as "Since this is a major revision, changes are not indicated."
- (3) Change pages may be issued that transmit changes only to one side of a two-sided page; in these cases, include the change marking to the header of the affected pages only.
- e. <u>NAVAIR-Specific Guidance</u>. There are certain policies and recommendations that are peculiar to NAVAIR directives which do not appear in references (a) through (g). Originators should be aware of these to preclude confusion and ensure consistency among directives:
- (1) The acronym "NAVAIRSYSCOM" is not to be used in directives. When prescribing responsibilities, describing procedures or otherwise referring to the Naval Air Systems Command headquarters only, the term "NAVAIRHQ" will be used. The term "NAVAIR" includes the Naval Air Systems Command headquarters and all NAVAIR field activities.
- (2) Bold-faced type will not be used; use underlining instead when emphasis is needed.
- (3) No hyphens or spaces are used between the abbreviation for Program Manager, AIR (PMA) and the appropriate number (e.g., "PMA200").
- f. <u>Instructions Applicable to PEO's, DRPM(AFX), and NAVAIRWARCEN</u>. When a directive assigns responsibilities or actions to Navy activities not under the NAVAIR chain of command, use a scope paragraph (following the cancellation paragraph, if any) detailing the activities to which the directive applies. For example: "This instruction applies to NAVAIRHQ and activities supported by NAVAIRHQ: the Naval Aviation Program

Executive Officer (PEO) for Air Anti-Submarine Warfare, Assault, and Special Mission Programs (PEO(A)), the PEO for Tactical Aircraft Programs (PEO(T)), and the Direct Reporting Program Manager for Medium Attack (DRPM(AFX)). The Naval Air Warfare Center (NAVAIRWARCEN) Headquarters will also follow the guidance of this instruction. The PEO for Cruise Missiles Project and Unmanned Aerial Vehicles Joint Project (PEO(CU)) is not affected by this instruction."

4. Format Guidelines for All Directives

- a. <u>Stationery</u>. Prepare preliminary drafts of directives on bond paper, double spaced, so corrections and paragraph revisions can be easily inserted. Prepare the first page of the <u>final</u> draft for signature on letterhead and the succeeding pages on plain bond paper. Add "-0001" to the ZIP code printed on the letterhead. Use appropriate bond letterhead for directives being prepared for signature of SECNAV, OPNAV, PEO(A), PEO(T), DRPM(AFX), and the NAVAIRWARCEN. Include in the letterhead the activity's assigned nine-digit ZIP code.
- b. <u>Typeface</u>. The typeface required for all directives is Courier since it is a non-proportional typeface common to word processors, typewriters, etc. The size of type will be 10 characters per inch (CPI). This size is referred to in printing terms (and by some word processing systems) as 12-point type.
- c. Margins. Margin requirements for directives follow standard naval letter format: 1-inch margins on top, bottom (last line of text), and each side. In the case of directives to be bound, a 1½-inch margin is used. These requirements will vary on letterhead pages. Because reference (a) does not address the flexibility afforded by word processing computer applications, the following procedures are authorized for use on all NAVAIRHQ-originated directives:
- (1) <u>Top Margins</u>. Since identifying headers must appear on each page, 1-inch margins before the headers would vastly decrease the amount of print that can appear on a page. Therefore, exclude headers from the 1-inch top margin requirement.
- (a) Headers consist of three lines on the first page (directive number, originator code, and the approval date) and two lines on second and all subsequent pages (directive number and approval date). Text will begin on the second line below the date at the left margin. (See exhibit 6 for guidance on joint directives).
- (b) When drafting a directive on a word processor, setting a %-inch top margin will usually yield text that begins 1 inch below the top of the page, if the header consists of the standard two lines on the second and subsequent pages, and one

line of space is left before text. <u>Do not forget</u> to place a blank line for the date as the second line of the header.

- (2) <u>Bottom Margins and Page Numbers</u>. Page numbers must appear, centered, %-inch above the bottom of each page of a directive, starting with the second page (no page number will appear on page one of a directive, its enclosures or attachments).
- (a) Setting a ½-inch bottom margin with automatic pagination will usually result in text ending approximately 1 inch from the bottom of each page.
- (b) For enclosures, the directive originator may find it easier to turn off automatic pagination and include the page number as the second line of the footer (the first line being the enclosure number). Note that multiple footers may be necessary since: (1) Page numbers do not appear on the first page of directives or their enclosures and (2) enclosure and attachment markings appear on the bottom, outside margin; i.e., the right side of odd pages and the left side for even-numbered pages.
- (c) Avoid "widows" and "orphans" (when the last line of a paragraph appears as a single line at the top of a page or when the first line of a paragraph is the last line on a page, respectively). This takes precedence over the requirement to have 1 inch of space at the bottom of a page. Also, when possible, avoid separating a heading from the information it introduces; a short page is preferable, if the page is shorter by a maximum of only two lines.
- (3) <u>Left and Right Margins</u>. For the left and right sides, set firm 1-inch margins. Text should be left justified with a ragged right edge. <u>Do not use full justification</u>. When large gaps in text occur at the end of a line, use hyphenation or revise text. For example, to eliminate a gap created by a term such as "managers/functional specialists," use "managers and/or functional specialists."
- d. <u>Identification Symbols</u>. Directives will be identified by three lines of information on the first page, beginning on the line below the printed notation "In reply refer to." The first and third of these lines is repeated as a page heading ("header") at the top, outside margin of the second and succeeding pages of the directive. The longest line on first and odd pages is flush with the right margin and following identification symbol lines are aligned under the first letter of that line.
- (1) <u>First Line</u>. The issuing activity's abbreviated name, followed immediately by the abbreviation "INST" or "NOTE" (as appropriate), one space, and the SSIC number (from reference (b)), are included on the first line for all directives.

- (a) <u>Instructions and Change Transmittals</u>. Instructions and change transmittals are further identified with a point and a unique number (assigned by AIR-71044 following directive approval) to track the directive within that SSIC category.
- (b) <u>Notices</u>. Notices have no further identifying symbols. Therefore, when citing a notice, always include the approval date to ensure proper identification.
- (c) <u>Instruction Revisions Only</u>. For revisions, type the complete identification of the old instruction and add, with no spaces, the next consecutive alphabetical suffix (starting with "A" for the first revision). Do not use the letters "I" and "O."
- (d) <u>Change Transmittals Only</u>. For change transmittals, add one space, the letters "CH," a hyphen, and the consecutive change number.
- (2) <u>Second Line</u>. The originator's code is included on the second line of the first page only. This information is excluded from the headers. (See paragraph 3e(3) of this enclosure for further guidance).
- (3) <u>Final Line</u>. The last line of the identifying symbols (for all pages of a directive) is the approval date of the directive. Since unknown when drafting or revising a directive, this date is left blank until the document is signed; it is added in coordination with AIR-71044 following directive approval (see paragraph 6c(6) of the basic instruction).

e. Classification Markings

- (1) All Pages. The security classification is marked conspicuously (i.e., in all capital letters, either stamped in red or typed in noticeably larger print) on each page of a classified directive. This marking must appear in the center of the top and bottom margins. Second and succeeding pages of a classified directive may be marked with the highest overall classification; alternatively, these pages may be marked with the highest classification of the information on that page.
- (2) First Page Only. The first page of a classified directive is further identified by prefixing the specified classification symbol (either "TS" for Top Secret, "S" for Secret, "C" for Confidential, or "U" for Unclassified) to the SSIC number. Prescribe a serial number for each. Classified directives must be assigned appropriate security classification, downgrading, and declassification markings. Serial numbers for secret directives are obtained from the Secret Communications and Files Unit (AIR-710431). Serial numbers for confidential directives are assigned within each group.

- f. <u>Designation Block</u>. This block appears on the second line following the directive approval date. All text on the line is upper case and underlined:
- (1) <u>Instructions</u>. The abbreviation of the issuing activity, one space, the full word "INSTRUCTION," one space, and the SSIC number appear on this line. Revisions receive the same identification number as the old instruction, ending with the next consecutive alphabetic suffix. New instructions are identified with the applicable SSIC number, followed by a consecutive number assigned by AIR-71044. Generally, for new directives with 10 or fewer pages, the consecutive number is typed by AIR-71044; for longer documents, the directive is returned to the originating office for addition of the consecutive number.
- (2) <u>Notices</u>. The issuing activity's abbreviation, one space, and the full word "NOTICE" appears on this line.
- (3) Change Transmittals. Each change transmittal is identified in the designation block by the same number (and date, if it is a notice) as the instruction or notice it changes plus one space, the words "CHANGE TRANSMITTAL" written out, one space, and an assigned change transmittal number.
- g. <u>"From" Block</u>. The "From" block appears on the second line below the title block. For NAVAIR-issued directives, this line always appears as "From: Commander, Naval Air Systems Command." Two spaces follow the colon.
- h. "To" Block. The "To" block is omitted for most directives, with action addressees identified under the "Distribution" block and other addressees identified in the "Copy to" block. Only addressees by individual, collective or descriptive title (i.e., All Ships and Stations, Naval Air Systems Command Headquarters Personnel) are shown in the "To" block. When included in a directive, the "To" block is typed on the line below the "From" block, with no space in between. Four spaces follow the colon so that the addressee aligns under "Commander" in the "From" block; all text will be indented at that point if the addressee takes up more than one line.
- i. <u>Subject Block</u>. The subject block should be a brief statement of the purpose of the directive. Express in normal word order with all letters capitalized. No abbreviations may be used and the subject may not exceed 180 characters.
- j. Reference Block. The reference block will appear two lines below the subject block. A separate line will be included for each reference, aligning under the first. "Ref:" should appear at the left margin (for the first reference only), followed by three spaces, the appropriate reference letter enclosed in parentheses and in lower case (in ascending order,

starting with "(a)" and continuing alphabetically). One space follows, and then the reference. When citing an instruction, the date is not required, but the subject should be added if it is different from the instruction at hand, and it is not clearly indicated in the text. When there are several instructions referenced, treat them the same to be consistent. The date is not needed except when referencing a Department of Defense instruction, since the consecutive number for instructions and alphabetical suffix for revisions identifies the instruction. Add the abbreviation "NOTAL" (not to all) in parentheses if the reference is not held by all addressees. When citing a notice, include the date, since notices do not have either a consecutive number or alphabetical suffix for revisions.

k. Enclosures

- (1) <u>Below Reference Line</u>. Enclosures are numbered in ascending order beginning with (1). Following "Encl:" at the left margin (for the first enclosure only) are two spaces, and the enclosure number in parentheses. Skip one space and provide the title in upper and lower case letters, indenting as necessary. Always include the full enclosure title. A separate line will be included for each enclosure (beginning with the enclosure number), aligning under the first.
- (2) <u>Markings on Each Page</u>. The full word "Enclosure" (do not abbreviate) and its sequential number listed in parenthesis are placed in the bottom outside margin (right margin for odd pages and left margin for even pages). There are two exceptions:
- (a) When the text runs horizontally on the page, run the enclosure identification parallel to the text in the lower right margin.
- (b) Where affixing it would be impractical (such as on preprinted multi-page documents and machine runs), include an enclosure cover sheet, with the enclosure designation in the lower right margin of the first page only.
- 1. Required Paragraphs/Paragraph Order. The sequence of paragraphs is mostly at the discretion of the originating office, with a few important exceptions:
 - (1) The first paragraph must be the purpose paragraph.
- (2) The second paragraph must carry any cancellation notice. This is a required paragraph when canceling or superseding another directive or document. You must also include the report symbol and form number of a canceled report or form cited in the canceled directive.
- (3) A "Scope" paragraph is required if a NAVAIR directive applies to the Naval aviation PEO's, DRPM(AFX) or to the

NAVAIRWARCEN. (See paragraph 3f of this enclosure for further quidance).

- (4) The last paragraph of an instruction or change transmittal is required to indicate reports and forms prescribed in the directive. Include the titles, report symbols/form numbers, and the availability of the forms.
- (5) Notices containing certain criteria to be met before cancellation will have a "cancellation contingency" paragraph as the very last paragraph in that directive.
- m. <u>Signature</u>. Leave the signature block blank until the directive is signed. Normally, eight spaces are left between the last line of text and the "Distribution" block. The signature will appear on the fourth line below the last line of text. The signer's name and authority will be typed on the following line, in the office in which the directive is signed. Three lines of space will follow the authority line and precede the "Distribution" block.

n. "Distribution" Block

- (1) When the collective title; i.e., All Ships and Stations, Naval Air Systems Command Headquarters Personnel, is used in the "To" block, no list is required under distribution; in this case, only "Copy to" addressees are listed, beginning on the eighth line below the last line of text.
- (2) General widespread distribution should not be used where a specific, limited distribution will do. Addressees who "need to act" are included under the "Distribution" block and those who "need to know" under the "Copy to" block. On internal directives, action distribution will not be addressed below division level and two copies will be provided to each addressee. No further internal distribution will be added to the "Copy to" block, except as indicated in paragraph 4p of this enclosure. Normally, only two copies of each directive will be furnished to each external addressee, one for the master set and one for the action or information office.
- (3) External addressees under the "Distribution" or "Copy to" blocks are listed by their SNDL codes in numerical alphabetical order. Whenever a directive has external addressees, NAVAIRHQ addressees are also shown by SNDL code as "FKA1A"; internal codes follow, listed in parentheses in numerical order.
- o. "Copy to" Block. All NAVAIR directives (except Secret) require certain specific "Copy to" addressees. These addressees vary, as shown in paragraphs 4p(1) and 4p(2) of this enclosure, depending on the type of directive. Select the "Copy to" addressees from the appropriate list, add other codes who "need

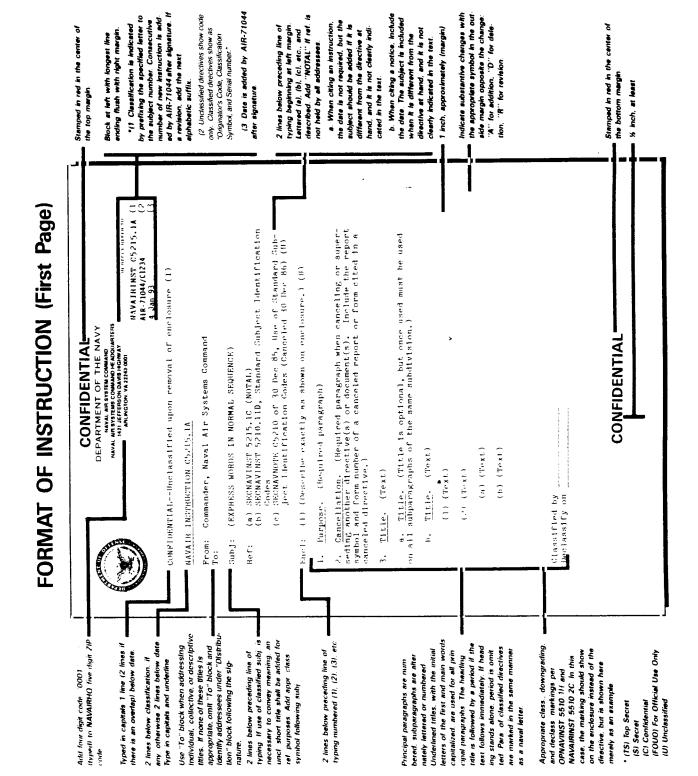
NAVAIRINST 5215.5H 18 Nov 93

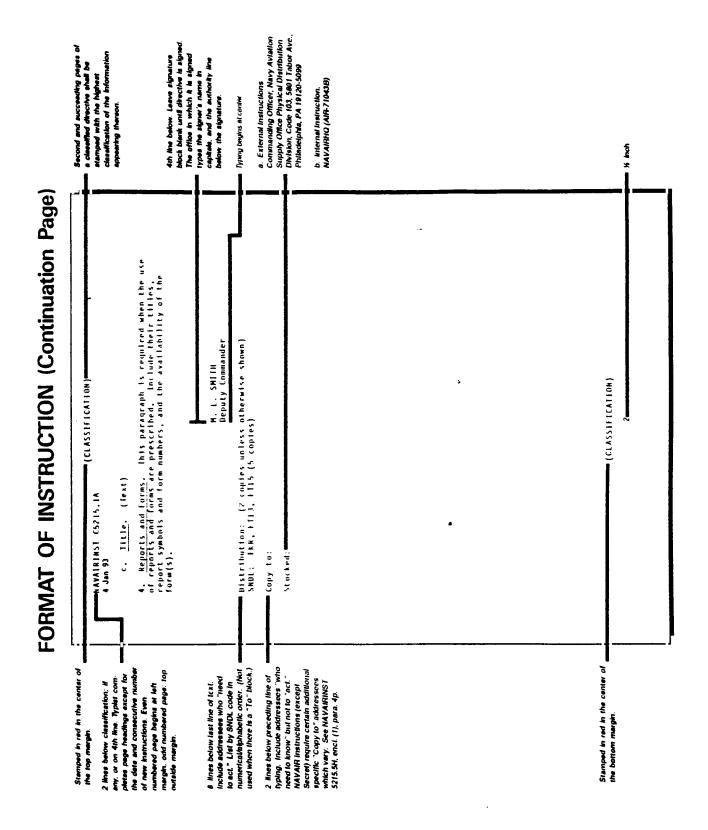
to know", and sort them in numerical alphabetical order. Type these "Copy to" addressee codes, in blocked paragraph form, on the second line below distribution. If there is no distribution, the "Copy to" line should begin on the eighth line below the last line of text. At least two lines of text must appear on the same page as the signature, distribution, "Copy to," and "Stocked" paragraphs:

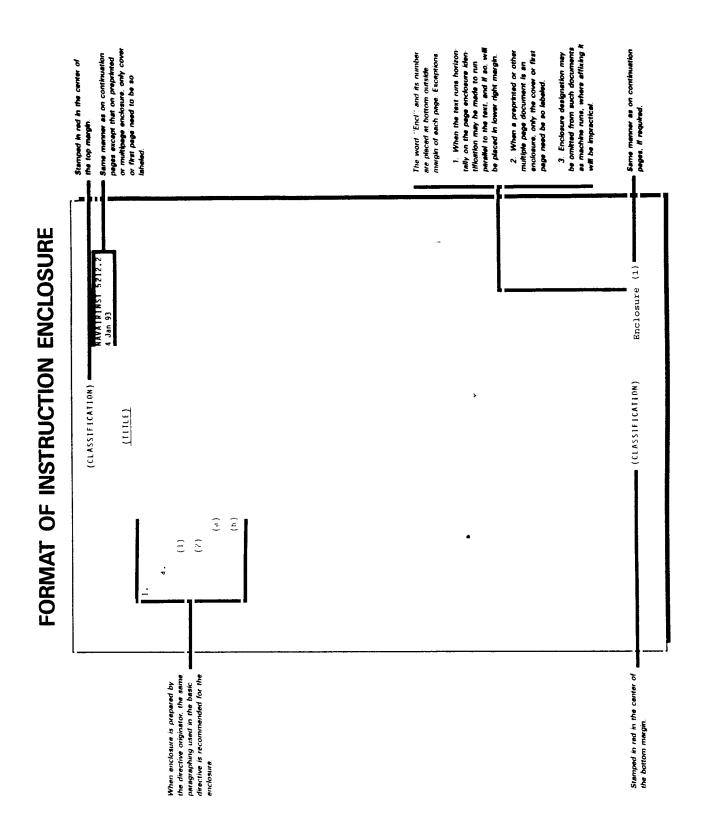
- (1) <u>Instructions</u>. C21 (1 copy); FKA1A (AIR-07D A/L (1 copy); AIR-71044 (3 copies); AIR-71043B (20 copies); Originator's Code (5 copies)); FKM27 (NPPSO-NDW C/L)
- (2) <u>Notices</u>. C21 (1 copy) (If required); FKA1A (AIR-71044 (3 copies); AIR-71043B (10 copies); Originator's Code (5 copies))
- p. <u>Stocking Information</u>. Two lines below the last line of the "Copy to" block, one of the following notations will be added to indicate the Navy stock point:
- (1) External Directives, Excluding PEO(A) and PEO(T). Stocked: Commanding Officer, Navy Aviation Supply Office, Physical Distribution Division, Code 103, 5801 Tabor Avenue, Philadelphia, PA 19120-5099
- (2) Notices, Internal Instructions, and All PEO(A) and PEO(T) Directives. Stocked: NAVAIRHQ (AIR-71043B)
- 5. <u>List of Exhibits</u>. The following is a list of exhibits which demonstrate the various directive formats and illustrate the principles set forth in the basic instruction and expanded in this enclosure.

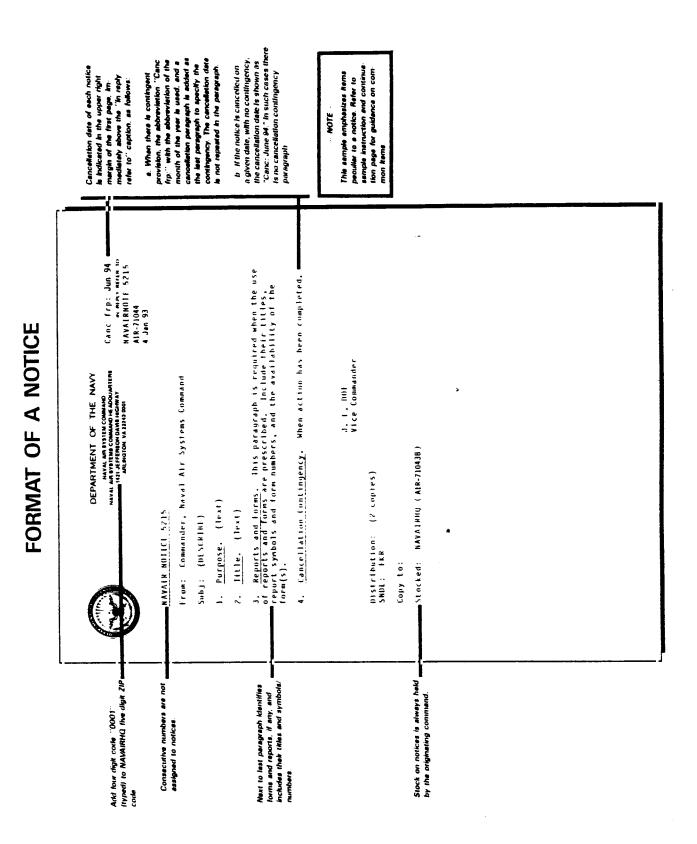
EXHIBIT NO. TITLE

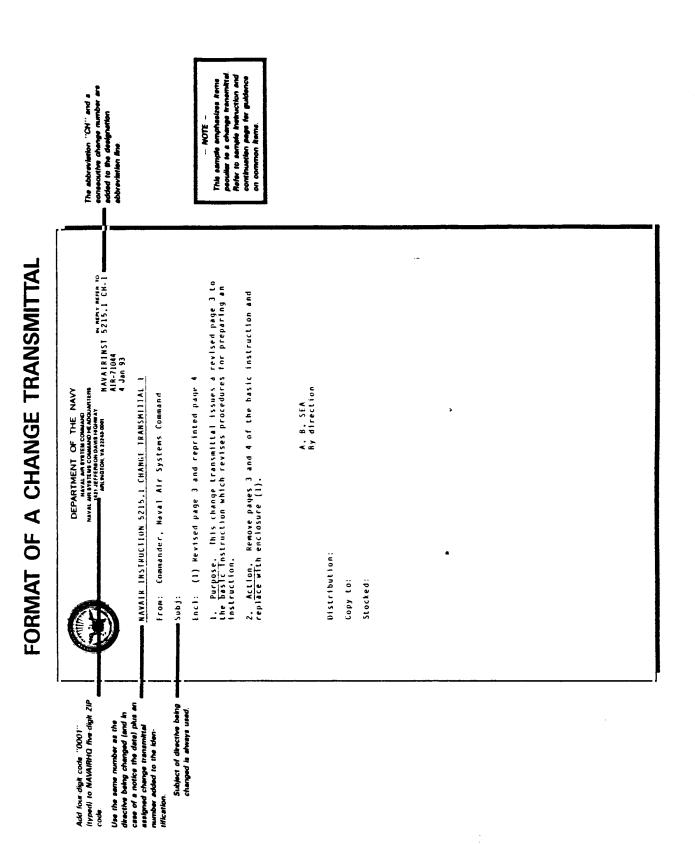
- Instruction (First Page)
 Instruction (Continuation Page)
 Instruction Enclosure
 Notice
- 5 Change Transmittal 6 Joint Directive

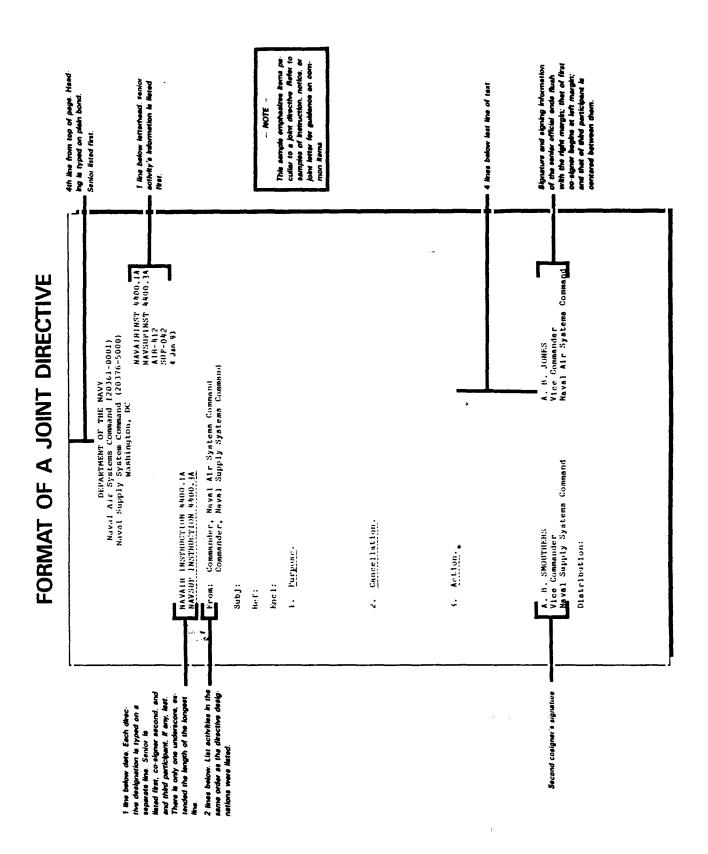












FLOW CHART FOR CLEARANCE AND PROCESSING OF NAVAIR DIRECTIVES

OPERATION	ORIG	GROUP DSCP	AIR- 71044	AIR- 71042	REVIEW CODES
PREPARE DRAFT AND ROUTE FOR CONCURRENCE.	0				
REVIEW AND PROVIDE COMMENTS TO ORIGINATOR.					2
3. REVISE DRAFT (REROUTE FOR CONCURRENCE IF NECESSARY) SUBMIT TO GROUP DSCP.	3				
4. PERFORM A COMPREHENSIVE REVIEW IN ACCORDANCE WITH DON STANDARDS. RETURN DRAFT TO ORIGINATOR APPROVED/APPROVED SUBJECT TO MARKUP/ OR DISAPPROVED.					
5a. <u>DISAPPROVED</u> : CORRECT AND RETURN TO DSCP FOR APPROVAL	53	,			
5b. <u>APPROVED/APPROVED SUBJECT TO</u> <u>MARKUP</u> : PREPARE DIRECTIVE IN FINAL FORMAT AND ROUTE FOR SIGNATURE.	Sb				
6. ASSIGN INSTRUCTION AND STOCK NUMBERS, DATE, AND FORWARD FOR PRINTING		·	6		
7. PRINT, DISTRIBUTE AND STOCK DIRECTIVE				70	

Note: Contractor assistance is available at any stage of the revision process. Early contractor assistance will ensure a continuous comprehensive review, and compliance with DON directives standards from inception through printing.

GUIDELINES FOR REVIEWING INSTRUCTIONS

- 1. Determine the need for the instruction:
- a. Is it required to carry out the mission and responsibility of NAVAIR?
- b. Is the subject matter covered adequately in other documents or in other delegations of authority or responsibility?
- c. Have necessary directives been issued or are there gaps in policy and procedures that need to be filled?
- 2. If need for the instruction is established:
- a. Is the instruction current? Is it clear, concise, and well worded?
- b. Could it be consolidated with other instructions in the same general subject area?
- c. Does it include incorrect channels of authority or obsolete terminology; e.g., "material bureau" instead of "management bureau"?
- d. Does the wording conform to the present organization and nomenclature?
- e. Is the distribution correct in view of present organizations and responsibilities?
- f. Has the instruction been assigned the proper security classification or "For Official Use Only" designation?
- g. If a report is required, is it still needed? Should it be cancelled, consolidated with another report or revised?
- h. If a form is prescribed, should it be canceled or revised? If a format is prescribed, has usage increased to warrant providing a form?
- i. If a committee is involved, should it be disestablished or changed?
- j. Does it have the correct SSIC? (See SECNAV Instruction 5210.11D, reference (b).)
- k. Have appropriate concurrences been obtained, if applicable?